

**STATE OF IOWA  
COMMUNITY SERVICES BLOCK GRANT PROGRAM (CSBG)**

**FFY 2022 CSBG PROGRAM OPERATIONS REVIEW QUESTIONNAIRE**

Version 1.0 (January 26, 2022)

AGENCY: \_\_\_\_\_

DATE OF REVIEW: \_\_\_\_\_

**DESK REVIEW**

CSBG PROGRAM YEAR: **2022** \_\_\_\_\_

**AGENCY CERTIFICATION**

EXECUTIVE DIRECTOR'S SIGNATURE: \_\_\_\_\_

TYPED OR PRINTED NAME: \_\_\_\_\_

DATE OF CERTIFICATION: \_\_\_\_\_

The Executive Director's signature and date signed indicates certification of the information provided on and in connection with this CSBG program operations review document is true and correct to the best of his or her knowledge.

**INSTRUCTIONS:**

This questionnaire is part of the DCAA's CSBG program operations desk-review process.

Complete and submit this questionnaire to the DCAA. The questionnaire has been pre-populated with information recorded from the last time the DCAA completed a CSBG program operations review.

The DCAA will review the completed questionnaire and contact the agency for additional information if necessary.

## **Agency Policies, Procedures, and Operations**

### **1. Child Support Services (#1504)**

YES ☒ NO ☐ Does the agency have child support services policies or practices in place?

Do the agency's child support services policies or practices:

YES ☒ NO ☐ (1) educate employees about the child support services requirement

YES ☒ NO ☐ (2) require employees to inform custodial parents in single-parent families that participate in agency programs, services, or strategies about the availability of child support services

YES ☒ NO ☐ (3) require employees to refer eligible custodial parents in single-parent families that participate in agency programs, services, or strategies to the child support offices of state and local governments

### **2. Client Appeal and Hearing Procedures (#1505)**

YES ☒ NO ☐ Does the agency have CSBG client appeal and hearing procedures?

### **3. Client Confidentiality (#1506)**

YES ☒ NO ☐ Does the agency have client confidentiality policies or practices in place?

YES ☒ NO ☐ Do the agency's client confidentiality policies or practices address the following:

- Information pertaining to a client receiving services shall be held confidential
- Information pertaining to a client receiving services shall not be disclosed or used by any person or agency except for purposes of administering services
- Information pertaining to a client receiving services shall not be disclosed or used by any person or outside organization except upon consent of the client by a signed release
- General and statistical Information may be disclosed so long as the information does not identify the client being provided the services

### **4. Code of Conduct (Code of Ethics) (Agency) (#1509)**

YES ☒ NO ☐ Does the agency have adopted ethics standards (Code of Ethics)?

YES ☒ NO ☐ Does the agency's Code of Ethics include board member fiduciary duties (duty of care, duty of loyalty, and duty of obedience) or equivalent standards?

YES ☒ NO ☐ Does the agency provide and review the Code of Ethics with its employees?

### **5. Conflict of Interest (Employees) (#1511)**

YES ☒ NO ☐ Does the agency have conflict of interest policies?

YES ☒ NO ☐ Do the agency's conflict of interest policies establish safeguards to prevent employees, consultants, or board members from using their positions for purposes that are, or give the appearance of being, motivated by the desire for private gain for themselves or others with whom they have family, business, or other ties?

YES ☒ NO ☐ Does the agency provide and review the conflict of interest policies with its employees?

**6. Construction of Facilities and Land (Purchase or Improvement) (#1512 and #1527)**

- YES ☐ NO ☒ In the past 3 years, did the agency use CSBG program funds to purchase, construct, or permanently improve a building or facility, or purchase or improve land?
- YES ☐ NO ☐ N/A ☒ Did the agency receive prior approval (waiver) from the DCAA?

**7. Drug Free Workplace (#1516)**

- YES ☒ NO ☐ Does the agency have a drug free workplace statement?
- YES ☒ NO ☐ Does the agency's drug free workplace statement notify employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the agency's workplace?
- Does the drug free workplace statement specify:
- YES ☒ NO ☐ (1) the actions that will be taken against an employee for violations of such prohibition
- YES ☒ NO ☐ (2) as a condition of employment the employee will abide by the terms of the statement
- YES ☒ NO ☐ (3) as a condition of employment the employee will notify the agency of any criminal drug statute conviction for a violation occurring in the workplace no later than 5 calendar days after such conviction

**8. Drug Free Awareness Program (#1516)**

- YES ☒ NO ☐ Does the agency have a drug free awareness program?
- Does the drug free awareness program inform employees about:
- YES ☒ NO ☐ (1) the dangers of drug abuse in the workplace
- YES ☒ NO ☐ (2) the agency's policy of maintaining a drug free workplace
- YES ☒ NO ☐ (3) any available drug counseling, rehabilitation, and employee assistance programs
- YES ☒ NO ☐ (4) the penalties that may be imposed upon employees for drug abuse violations

**9. Equipment Purchasing, Leasing, Disposing, and Transferring (#1520)**

- YES ☐ NO ☒ **PURCHASE:** In the past 3 years, did the agency purchase any equipment that involved \$5,000 or more (per calendar year) of CSBG program funds?
- YES ☐ NO ☐ N/A ☒ Did the agency receive prior approval from the DCAA (CSBG Equipment and Vehicle Purchase/Lease Request form)?
- YES ☐ NO ☒ **LEASE:** In the past 3 years, did the agency rent or lease any equipment that involved \$5,000 or more (per calendar year) of CSBG program funds?
- YES ☐ NO ☐ N/A ☒ Did the agency receive prior approval from the DCAA (CSBG Equipment and Vehicle Purchase/Lease Request form)?
- YES ☐ NO ☒ **DISPOSE:** In the past 3 years, did the agency dispose or sell unneeded equipment which was purchased with CSBG program funds and whose estimated fair market value, at the time of disposal or sale, was \$5,000 or more?
- YES ☐ NO ☐ N/A ☒ Did the agency receive prior approval from the DCAA?
- YES ☐ NO ☐ N/A ☒ Did the agency credit its CSBG program with the proceeds from the disposal or sale?
- YES ☐ NO ☒ **TRANSFER:** In the past 3 years, did the agency transfer an agency vehicle to its CSBG program?
- YES ☐ NO ☐ N/A ☒ Did the agency receive prior approval from the DCAA (CSBG Vehicle Transfer Request form)?

**10. Insurance (#1524)**

- YES ☐ NO ☐ Are the agency's insurance policies current?
- YES ☐ NO ☐ Do the agency's insurance policies cover general liabilities?
- YES ☐ NO ☐ Do the agency's insurance policies cover workers' compensation?
- YES ☐ NO ☐ Do the agency's insurance policies cover employer liability?

**11. Limited English Proficiency (Translation and Interpretation Services) (#1529)**

- YES ☒ NO ☐ Does the agency have policies or practices in place for providing translation and interpretation services?
- YES ☒ NO ☐ Do the agency's policies or practices for providing translation and interpretation services meet the following requirement:
- Agencies have a legal obligation to provide oral and written language assistance to limited English proficiency persons receiving (or potentially receiving) agency services.

**12. Lobbying Activities (#1531)**

- YES ☒ NO ☐ Does the agency have lobbying activities policies or practices in place?
- YES ☒ NO ☐ Do the agency's lobbying activities policies or practices address the following requirement:
- CSBG program funds cannot be used by the agency, or any agency subcontractor, to support lobbying activities to influence proposed or pending federal or state legislation or appropriations.

**13. Memberships, Subscriptions, and Professional Activities (#1532)**

- YES ☐ NO ☒ In the past year, did the agency use CSBG program funds to pay (over \$250 in annual fees) for membership costs to a civic or community organization?
- YES ☐ NO ☐ N/A ☒ Did the agency receive prior approval from the DCAA (CSBG Civic or Community Organization Membership Request form)?

**14. Nepotism (#1533)**

- YES ☒ NO ☐ Does the agency have nepotism policies?
- YES ☒ NO ☐ Do the agency's nepotism policies require the disclosure of familiar relationships among employees and between employees and members of the board?
- YES ☒ NO ☐ Do the board's nepotism policies include procedures for disclosing familial relationships among employees and between employees and members of the board?
- YES ☒ NO ☐ Does the agency provide and review the nepotism policies with its employees?

**15. Non-Discrimination (Civil Rights Requirements) (Client Services) (#1534)**

- YES ☒ NO ☐ Does the agency have non-discrimination (client services) policies or practices in place?
- YES ☒ NO ☐ Do the agency's non-discrimination policies or practices ensure that no person (client) shall, on the basis of race, color, national origin, sex, age, or disability (mental or physical) be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or service funded in whole or in part with CSBG program funds?

**16. Non-Discrimination (Civil Rights Requirements) (Employees) (#1534)**

- YES ☒ NO ☐ Does the agency have non-discrimination (employees) policies or practices in place?
- YES ☒ NO ☐ Do the agency's non-discrimination policies or practices prohibit discrimination in its employment practices to employees based on race, color, national origin, sex, age, disability (mental or physical), or religion?
- YES ☒ NO ☐ Do the agency's non-discrimination policies or practices protect men and women who perform substantially equal work from sex-based wage discrimination?

**17. Non-Discrimination (Civil Rights Requirements) (Applicants for Employment) (#1534)**

- YES ☒ NO ☐ Does the agency have non-discrimination (applicants for employment) policies or practices in place?
- YES ☒ NO ☐ Do the agency's non-discrimination policies or practices prohibit discrimination in its employment practices against any applicant for employment because of race, color, national origin, sex, age, or disability (mental or physical)?
- YES ☒ NO ☐ Do the agency's policies or practices ensure that all agency solicitations and advertisements for applicants for employment state that all qualified applicants will receive consideration for employment without regard to race, color, national origin, sex, age, or disability (mental or physical) or equivalent (i.e. Equal Opportunity Employer)?

**18. Non-Citizens (#1535)**

- YES ☒ NO ☐ Does the agency have policies or practices in place to ensure non-citizens, regardless of their alien status, have meaningful access to agency services?
- YES ☒ NO ☐ Do the agency's policies or practices for ensuring non-citizens have meaningful access to agency services meet the following requirement:
- Non-citizens, regardless of their alien status, should not be banned from CSBG programs based solely on their alien status unless such exclusion is already authorized by another statute.

**19. Political Activities (#1537)**

- YES ☒ NO ☐ Does the agency have political activities policies or practices in place?
- Do the agency's political activities policies or practices address the following requirements:
- CSBG program funds cannot be used by the agency, or any agency subcontractor, to support:
- YES ☒ NO ☐ (1) partisan or nonpartisan political activities
- YES ☒ NO ☐ (2) political activities associated with a candidate, or contending faction or group, in an election for public or party office
- YES ☒ NO ☐ (3) activities to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any such election

**20. Religious Activity Prohibitions (#1538)**

- YES ☒ NO ☐ Does the agency have religious activities policies or practices in place?
- YES ☒ NO ☐ Do the agency's religious activities policies or practices address the following requirement:
- CSBG program funds may not be used to support inherently religious activities such as religious instruction, worship, or proselytization.

**21. Retention of Records (#1540)**

YES ☒ NO ☐ Does the agency maintain CSBG client records for a period of at least 3 years?

**22. Smoking (Pro-Children Act of 1994) (#1543)**

YES ☒ NO ☐ Does the agency have non-smoking policies or practices in place?

Do the agency's non-smoking policies or practices address the following Pro-Children Act requirements:

YES ☒ NO ☐ (1) Smoking is not permitted in any portion of any agency indoor facility (exception: portions of facilities used for inpatient drug or alcohol treatment).

YES ☒ NO ☐ (2) The Pro-Children Act (Public Law 103227, Part C Environmental Tobacco Smoke) language will be included in any agency subawards which contain provisions for children's services.

**23. Voter Registration Activities (#1548)**

YES ☒ NO ☐ Does the agency have voter registration activities policies or practices in place?

YES ☒ NO ☐ Do the agency's voter registration activities policies or practices address the following requirement:

- CSBG program funds cannot be used by the agency, or any agency subcontractor, to support voter registration activities.

**24. Whistleblower (#1549)**

YES ☒ NO ☐ Does the agency have whistleblower policies? [CSBG ORGANIZATIONAL STANDARD 7.7]

YES ☒ NO ☐ Do the agency's whistleblower policies prohibit the agency from taking adverse employment action against agency employees who disclose information about an agency service contract?

Do the agency's whistleblower policies inform employees of their rights to disclose information to:

YES ☒ NO ☐ (1) Division of Community Action Agencies (with phone number)

YES ☒ NO ☐ (2) The Office of Citizens' Aide (with phone number)

YES ☒ NO ☐ (3) The Auditor of the State (with phone number)

YES ☒ NO ☐ (4) The Office of the Attorney General (with phone number)

YES ☐ NO ☒ In the past 3 years, did the agency receive any complaints or allegations of fraud or abuse of CSBG program funds or funds from a closely related program?

**25. Interest Earned (#1710)**

YES ☒ NO ☐ Does the agency maintain interest earned documentation for CSBG program funds?

YES ☐ NO ☒ In the past 3 years, did the agency remit annual CSBG interest earned to HHS?

YES ☐ NO ☐ N/A ☒ Did the agency maintain CSBG interest earned remittance documentation?

**26. Cost-Sharing or Matching**

CSBG CONTRACT (Special Terms and Conditions, 28.8)

With the following exceptions, CSBG program funds cannot be used to match the cost-sharing or matching requirements of another federally-funded program, or changed as a cost to such a program.

**Americorps (Federal Matching Requirements) (#1502)**

CSBG program funds may be used by agencies to meet the cost sharing requirements for the Corporation for National and Community Service Americorps program (OCS, CSBG Information Memorandum, Transmittal #139).

YES ☐ NO ☒ In the past 3 years, did the agency use CSBG program funds to meet the cost sharing requirements for any Corporation for National and Community Service Americorps program?

**Housing and Urban Development (Federal Matching Requirements) (#1523)**

CSBG program funds may be used by agencies to meet matching requirements for Department of Housing and Urban Development McKinney-Vento Homeless Assistance programs (OCS, CSBG Information Memorandum, Transmittal #135).

YES ☐ NO ☒ In the past 3 years, did the agency use CSBG program funds to meet the matching requirements for any Department of Housing and Urban Development McKinney-Vento Homeless Assistance program?

**27. LIHEAP Planning and Administration Costs (#1528)**

CSBG CONTRACT (Special Terms and Conditions, 28.9): CSBG program funds may not be used for LIHEAP planning and administration costs. CSBG program funds may be used to pay for LIHEAP costs associated with administering Assurance 16 activities (LIHEAP Statute, Section 2605(b)(16)) or LIHEAP program support activities.

YES ☒ NO ☐ Is the agency aware of and in compliance with this CSBG use of program funds requirement?

**28. Grant Funds Terminated for Cause (#1815)**

YES ☐ NO ☒ In the past 3 years, did the agency have grant funds terminated for cause or default in any federal, state, or local programs other than CSBG?

YES ☐ NO ☐ N/A ☒ Did the agency notify the DCAA within 30 calendar days after receiving notice of the termination(s)?